

CHAPTER 1—GENERAL ADMINISTRATION

ARTICLE 19—RESEARCH

Revised April 16, 2013

[Sections 14020.1 through 14020.4 remain unchanged]

14020.5 Research Advisory Committee

A Research Advisory Committee has been established to provide routine review and oversight of behavioral and other research activities in the Department.

Membership of the Research Advisory Committee may be comprised of CDCR departmental representatives, as well as other research and evaluation professionals as determined by the Director of Internal Oversight and Research such as:

- Deputy Director, Office of Research (chairperson).
- Deputy Director, Division of Adult Institutions.
- Deputy Director, Division of Adult Parole Operations (DAPO).
- Chief of the Research and Evaluation Branch,
- Academic community representatives engaged in criminal justice research.

14020.5.1 General Responsibility of Committee

The Department is held accountable for the conduct of all research on inmates. This accountability is ensured through the Research Advisory Committee in that its functions include overseeing behavioral and other research activities within the Department. No behavioral or other research shall be conducted on inmates without review by this committee. General functions of this committee

shall include:

- Reviewing proposed research projects and recommending approval or disapproval to the Director.
- Overseeing research projects in progress, ensuring adherence to state laws, departmental policies and standards for research on human subjects.
- Preparing the biannual report to the Legislature as required by PC. This report shall include a review of each research project approved and conducted during the time period covered by the report.

14020.5.2 Specific Responsibility

Specific functions of this committee shall include ensuring that:

- Any risks to inmates consenting to research are outweighed by the benefits they shall receive and the knowledge that will be gained from the research.
- The rights and welfare of inmates are adequately protected and the security of any exempt personal information is maintained.
- Procedures for the selection of inmates for research projects are equitable and that they are not unjustly deprived of the opportunity to participate. A means is established for adequately compensating research related injuries.
- Legally effective informed consent is obtained from all participating inmates.
- The rate of remuneration is comparable to that received by non-prisoner volunteers in similar research.
- The conduct of research projects is reviewed at timely intervals.

14020.6 Informed Consent

An inmate shall be deemed to have given their informed consent only if the following conditions are met:

- Consent is given without duress, coercion, fraud, or undue influence.
- Inmate is informed in writing of the potential risks and benefits of the proposed research.

Language

- Inmate is informed both orally and in writing, in a language in which subject is fluent, of each of the following:
 - An explanation of the behavioral or other research procedures to be followed and their purpose, including identification of any procedures which are experimental.
 - A description of all known attendant discomforts and risks reasonably to be expected.
 - A disclosure of any appropriate alternative behavioral or other research procedures that might be advantageous for the subject.
 - The nature of the information sought to be gained by the experiment.
 - The expected recovery time of the subject after completion of the experiment (if applicable).
 - Amount of remuneration to be received.
 - Manner in which the prisoner may obtain treatment if research related injuries occur.
 - An offer to answer any inquiries concerning the applicable behavioral or other research procedures.
 - An instruction that the person is free to withdraw his consent and to discontinue participation in the research at any time without prejudice.

14020.7 Project Approval

All research activities and proposals involving departmental facilities, employees or inmates shall be submitted, in the format described in the DOM 14020.8, to the Chief of the Research and Evaluation Branch, who shall coordinate the process of departmental review and approval. Review of research proposals shall be carried out by the Research Advisory Committee. For each proposal, the committee shall recommend that it be approved, approved with qualifications, or disapproved. The recommendation shall be submitted to the Director for final approval/disapproval.

Projects

Projects requiring this approval process include:

- Departmental research conducted by employees of the Department.
- Research conducted jointly by outside agencies and departmental employees.
- Outside agency research conducted with the Department.
- Research conducted by students in conjunction with their academic studies or recognized apprenticeship service.

Agreement

Persons/agencies outside the Department, prior to project approval, shall sign an agreement to adhere to the requirements established herein.

Reports

Agencies/persons conducting research in the Department shall be required to submit progress reports on their projects at the request of the Chief of the Research and Evaluation Branch. Information from these reports shall be included in the biannual report transmitted to the Legislature.

14020.8 Preparation of Proposals

All research proposals submitted for departmental approval shall contain:

Introduction

- Brief statement of the objectives of the proposed study; what questions are being asked or what hypotheses tested.
- Specific values of the project with particular focus on administrative decisions to which the findings might be pertinent.

Methodology

- A description of the research methods to be used (e.g., experimental-control group, matched comparisons, exploratory interviews) and the approach to be taken (e.g., descriptive, experimental hypotheses testing, or participant observation).
- A description of the measuring devices to be used, (e.g., scales, tests, questionnaires). If measuring instruments are other than those routinely administered in the Department, a copy of the instruments shall be forwarded with the proposal. If they are to be developed as part of the project, a statement of their intended character and rationale shall be included.
- The institution where the proponents intend to collect data.

Resources Required

- Names and working titles of personnel involved (both employees of the Department and of other agencies), and their responsibilities in the project.
- An estimate of departmental staff time to be devoted to the project.
- Beginning and ending dates of the study.
- Additional operating or equipment costs to the State, including alterations to or additions of space.
- Demands on the time of inmate subjects and a plan for the compensation of the inmates.
- Source of funding.

Other Required Documents

- A copy of the informed consent form that shall be used in the project which shall include as a minimum those items listed in DOM 14020.6.
- An up-to-date curriculum vitae (resume) for each professional staff member of the proposed project.
- For student research projects, a letter from the student's faculty advisor stating that the student will be working on the project under his/her supervision and that the project has the approval of the student's college or university.
- A privacy certification signed by the principal investigator of the project outlining procedures for protecting exempt personal information and certifying that these procedures shall be carried out.
- For any proposal previously reviewed by a human subjects committee in a university or outside research organization, a copy of the record of the committee's approval.

14020.9 Grievances

Any inmate who has a grievance concerning the operation of any particular research program conducted under the authority of the Department may appeal using established appeal procedures (see DOM 54100).

[Subsection 14020.10 remains unchanged]**14020.11 Revisions**

The Deputy Director, Office of Research, or designee, shall ensure that the contents of this section are accurate and current.

[Section 14020.12 remains unchanged]